



UNIVERSITY COLLEGE
OF ESTATE MANAGEMENT

UCEM Data Protection Policy

This policy should be read in conjunction with the Information Security Policies

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1. Introduction

The Data Protection Act 2018 ('DPA 2018') protects the rights of individuals to have their personal data collected and stored securely and used only for legitimate and lawful purposes for which their consent has been sought. The General Data Protection Regulation 2016 ('GDPR') is a European Union (EU) regulation and became enforceable on 25th May 2018. It improves the rights of individuals and increases the accountability of organisations. "Post Brexit, GDPR has been retained and continues to apply in the UK. Note: there is little difference between the EU GDPR and UK GDPR so organisations that process personal data should continue to follow the key principles, rights and obligations of data protection that remain the same." (Shoosmiths 2021)¹

This policy sets out how the University College of Estate Management ('UCEM') and entities which are subsidiaries of UCEM (including U.C.E.M Courses Ltd, U.C.E.M. Publishing Ltd and Building People CIC) complies with the Data Protection Act 2018 and with the UK GDPR. The policy will be reviewed and updated at least annually. This policy applies across all territories and jurisdictions in which UCEM operates.

UCEM collects personal data for many reasons. We must process data to run our business and to provide the best possible service to our students. The kind of records that we keep of our students, staff (this includes employees and temporary workers), contractors and Board members are listed below (this is not an exhaustive list). We collect this data to allow us to meet statutory, regulatory and audit requirements, and to run our business effectively.

Students (including alumni)	Staff/ Board members (including former staff)
Contact details	Job application documents and forms
Application forms	References received and given
Apprenticeship Application forms	Next of kin details for emergency contact
Apprenticeship Commitment Statement	Payroll and tax information
Apprenticeship Delivery Agreement	Health and safety information
Individualised learner record return	Medical and health information
Risk assessments	Job performance and probation records
Definitive Award information	Records relating to promotion or transfer
Complaints, Appeals, Deferral data	Training and development records
BAME Equality information	Disciplinary records
Information provided by third parties	Record of service
Survey results (e.g. Graduate Outcomes Survey)	Planned and unplanned absence records including sickness records
Mentormatchme	Records relating to accident or injury at work

¹ Shoosmiths (2021) 'DSARs and other practical data protection issues for employers', © Shoosmiths LLP 2021

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Mitigating circumstances documents	Contact details and payment details
Academic misconduct information	Health and safety information
Passport and financial details	Academic integrity, fitness to practise/teach
Support Services (e.g. careers, welfare and pastoral, financial, disability and wellbeing)	

UCEM collects, stores and processes personal information. It is registered with the Information Commissioner as a “Data Controller”. The Information Commissioner is responsible for overseeing information legislation and is the relevant supervisory authority under the DPA 2018.

2. Monitoring and Review

This policy has been approved by the Executive Support Team (EST) and the Board of Trustees. It will be reviewed with other information compliance policies and guidelines annually and the responsibility for review will rest with the Executive Support Team followed by approval by the Board of Trustees.

The Board delegates authority to the Information Governance Working Group (formerly the GDPR Working Group) to update the policy, if required, to reflect [the guidance from the ICO on UK GDPR and DPA 2018 compliance](#). Any policy decisions as a result of updated guidance from the ICO must be referred to the Executive Support Team for a final decision.

Vice-Principals and Deans are responsible for ensuring this policy is observed within their departments. Local support is provided by the Information Champions (see 4.4).

If anyone considers the policy is not being followed, they should raise this with the Data Protection Officer (see 4.3).

3. Your Rights

You have the right to ask UCEM for a copy of your personal data (a data subject access request) as detailed in Appendix One.

You also have the right to object to processing that is causing you, or is likely to cause you, damage or distress; to object to communications or direct marketing; in certain circumstances to require us to correct or erase your personal data (this right is subject to the application of a public interest test); and a right to compensation for damages caused by a breach of the DPA 2018.

UCEM will retain student data indefinitely or until a student requests us to do otherwise. We will publish on our website any changes we make to this data protection policy and notify you by other communication channels where appropriate. You have the right to lodge a complaint with the Information Commissioner’s Office at <https://ico.org.uk/concerns/>

Where you exercise your right to erasure, we will continue to maintain in respect of past students a core set of personal data (name, subject(s), record of learning and achievement and award details, unique UCEM identification number and date of birth) to ensure we do not contact you inadvertently in future, while still maintaining our record of your academic achievements. We may also need to retain some financial records about you for statutory purposes (e.g. Gift Aid, anti-fraud and accounting matters). We will apply the public interest test when considering any request to delete personal data.

4. Definitions

4.1 Personal Data

Personal data means data which relates to a living individual who can be identified –

- (a) from that data, or
- (b) from that data and other information, which is in the possession of, or is likely to come into the possession of, the data controller,

and includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual.

It is important to note that, where the ability to identify an individual depends partly on the data held and partly on other information (not necessarily data), the data held will still be “personal data”. It also includes opinions about the individual.

The more expansive definition in the DPA 2018 includes online identifiers and provides for a wide range of personal identifiers to constitute personal data, reflecting changes in technology and the way organisations collect information about people.

4.2 Special Categories of personal data

Special categories of personal data (formerly ‘sensitive’ personal data) under the UK GDPR relates to:

- (a) the racial or ethnic origin of the data subject,
- (b) their political opinions,
- (c) their religious beliefs or other beliefs of a similar nature,
- (d) whether they are a member of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992),
- (e) their physical or mental health or condition,
- (f) their sexual life,
- (g) genetic data,
- (h) biometric data

The processing of personal data relating to criminal offences under the UK GDPR may only be carried out under the control of an official authority.

Personal data that has been pseudonymised – e.g. key-coded – can fall within the scope of the DPA 2018 depending on how difficult it is to attribute the pseudonym to a particular individual. This is relevant for UCEM where we use UCAS generic codes to record medical conditions.

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The categories of data are broadly drawn so that, for example, information that someone has a broken leg is classed as a special category of personal data, even though such information is relatively matter of fact and obvious to anyone seeing the individual concerned. Clearly, details about an individual's mental health, for example, are generally more sensitive than whether they have a broken leg. We will record any agreement to include special categories of data in records of conversations with students.

4.3 Data Protection Officer ('DPO')

The responsibility of the Data Protection Officer ('DPO') is as follows:

- To inform and advise the organisation and its employees about their obligations to comply with the UK GDPR and DPA 2018 and other relevant laws.
- To monitor compliance with the DPA 2018 and other data protection laws, including managing internal data protection activities, advise on data protection impact assessments; train staff and conduct internal audits.
- To be the first point of contact for supervisory authorities and for individuals whose data is processed (employees, students etc)

UCEM ensures that the DPO:

- Reports to the highest management level – i.e. Board level.
- Operates independently and cannot be dismissed, or penalised, for performing their task.
- Has adequate resources to enable them to meet the obligations under the DPA 2018

4.4 Information Champions

To support the DPO there are Information Champions in each area. The Information Champion will represent their area on UCEM's Information Governance Working Group (IGWG) and will provide support and assistance to the DPO.

The role involves:

- Being the key contact in their area for data protection queries and signposting colleagues to further detailed advice and support
- Promoting best practice including new guidelines and ways of working. This includes ensuring that the changes under the UK GDPR and the Data Protection Act 2018 are understood and implemented in their area.
- Knowing about the information that is held in their area, why it is held and who should (and should not) have access to it.
- Guiding and supporting staff in their area in managing information risk.
- Being part of an active network across UCEM learning and supporting each other and providing support to the DPO.

4.5 Consent

Consent under the DPA 2018 must be freely given, specific, informed and an unambiguous indication of an individual's wishes. There must be some form of clear affirmative action – a positive opt-in – consent cannot be inferred from silence, pre-ticked boxes or inactivity.

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Consent must also be separate from other terms and conditions, and there must be a simple way for people to withdraw consent.

4.6 Business Data Systems

Under an DSAR – Data Subject Access Request, individuals are entitled to a copy of the personal data an organisation is processing about them. This would be personal data which the organisation, as a controller, is processing about the individual on work internal 'Business Data Systems' or those of any processors whose services you utilise.

Social media presence

UCEM has a corporate social media presence, the purpose of this is to inform and engage with stakeholders. UCEM corporate social media accounts are monitored at regular intervals and only these corporately owned and managed social media channels will be reviewed as part of any Data Subject Access Request.

Views expressed by UCEM staff or contractors on personal social media accounts should not be interpreted as being the views of UCEM. Personal social media accounts are not managed, monitored or held by UCEM. This could also represent an infringement of individuals privacy rights to disclose such information. As such these accounts will not be part of any review of information held by UCEM when it receives an DSAR.

5. Data Protection Principles

The data controller (UCEM) shall be responsible for, and able to demonstrate compliance with, the following principles:

5.1 Processed lawfully, fairly and in a transparent manner

This means that we must:

- have legitimate grounds for collecting and using your personal data;
- not use the data in ways that have unjustified adverse effects on the individuals concerned;
- be transparent about how we intend to use the data, and give individuals appropriate privacy notices when collecting their personal data;
- handle the personal data of both students, employees and contractors only in ways they would reasonably expect; and
- make sure we do not do anything unlawful with the data.

The lawful basis for the processing of data by UCEM is that processing is necessary for the performance of a contract with the data subject or to take steps to enter into a contract and/or has been carried out with the consent of the data subject. UCEM will rely on the legitimate interests ground where the nature of the business requires that personal data be shared to carry out business functions such as client management or maintenance of

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software. UCEM will rely on public task where processing is necessary for the performance of a task carried out in the public interest.

There are two specific areas where UCEM will process special categories of personal data. These are where:

- processing is necessary for the purposes of preventative or occupational medicine, for assessing the working capacity of an employee or student, medical diagnosis, the provision of health or social care or a contract with a health professional or a non-medical help supplier
- processing is necessary for archiving purposes in the public interest, or scientific and historical research purposes or statistical purposes

5.2 Collected for specific, explicit, legitimate purposes

It shall not be further processed in a manner that is incompatible with those purposes but further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purposes. UCEM supplies statistical data to the Higher Education Statistics Authority ('HESA'), Office for Students ('OfS'), and to other statutory bodies (i.e. Ofsted) for the purposes of monitoring outcomes. We will tell individuals when this will be done and why.

Please see Appendix Six for the HESA Student and Staff Collection Notices.

5.3 Adequate, relevant and limited to what is necessary in relation to the purposes for which it is processed

This means we must ensure that the personal data held is sufficient but that no more is held than we need. We will not hold information that we will never need but we may hold information for a foreseeable event that never occurs.

We will identify the minimum amount of personal data we need to properly fulfil our purpose. We will hold that much information, but no more.

5.4 Accurate and, where necessary, kept up to date.

Every reasonable step will be taken to ensure that personal data that is inaccurate, having regard to the purposes for which it is processed, is erased or rectified without delay

5.5 Kept in a form which permits identification of data subjects for no longer than is necessary

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for the purposes for which the personal data are processed.

Personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes subject to implementation of the appropriate technical and organisational measures required by the DPA 2018 in order to safeguard the rights and freedoms of individuals

5.6 Processed in a manner that ensures appropriate security of personal data.

This includes protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

6. Information Security

Security is a critical part of keeping information confidential. UCEM take steps to ensure that all information is held securely both physically and electronically. Appendix Four details our security procedures and Appendix Five details the procedure for dealing with any breaches of information security.

For full details on information security please also see the UCEM Information security policies, these cover all aspects of information security which are not simply limited to protecting the systems that the information resides in but also addresses the people that use them, the physical computer equipment that is used to access them and the processes that are followed.

The Information Security Policies address all of these areas to assure the protection and the availability of the systems and the information contained on them and provide an overview of UCEM's information security under any current best practices and prevailing legislation.

7. Data Sharing

There are two types of data sharing: systematic and exceptional

'Systematic' means a routine sharing of data or pooling of data.

'Exceptional' is one-off sharing (which might have to happen in an emergency)

When deciding whether to share data UCEM will consider the following:

- **What is the sharing meant to achieve?** We will have a clear objective or set of objectives. Being clear about this allows us to work out what data we need to share and who with. We will document this.
- **What information needs to be shared?** We won't share all the personal data we hold about someone if only certain data items are needed to achieve our objectives.
- **Who requires access to the shared personal data?** We employ 'need to know' principles, meaning that other organisations should only have access to your data if they need it, and that only relevant staff within those organisations should have access to the data. This will also address any necessary restrictions on onward sharing of data with third parties.

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- **When should it be shared?** Is this an on-going, routine process or should it only take place in response to particular events?
- **How should it be shared?** This involves addressing the security surrounding the transmission or accessing of the data and establishing common rules for its security.
- **How can we check the sharing is achieving its objectives?** We will judge whether it is still appropriate and confirm that the safeguards still match the risks.
- **What risk does the data sharing pose?** For example, is any individual likely to be damaged by it? Is any individual likely to object? Might it undermine individuals' trust in us?
- **Could the objective be achieved without sharing the data or by anonymising it?**
- **Do we need to update our notification?**
- **Will any of the data be transferred outside of the European Economic Area (EEA)?**

7.1 Routine data sharing

Data will be shared routinely with government departments, specifically the Education and Skills Funding Agency ('ESFA') (apprentices only), the Higher Education Statistics Authority ('HESA') and Office for Students ('OfS'). When students register with us, they consent to this sharing of data.

Where data is shared routinely with other organisations a data sharing agreement will be in place.

7.1.1 Data sharing agreements

These will, at least, document the following issues:

- the purpose, or purposes, of the sharing;
- the potential recipients or types of recipient and the circumstances in which they will have access;
- the data to be shared;
- data quality – accuracy, relevance, usability etc;
- data security;
- retention of shared data;
- individuals' rights – procedures for dealing with access requests, queries and complaints;
- review of effectiveness/termination of the sharing agreement; and
- sanctions for failure to comply with the agreement or breaches by individual staff.

7.1.2 Points we will consider before sharing:

Is the format of the data being shared compatible?

The IT team is consulted about the secure transfer of data and, if a data sharing agreement is required, the IT team are also consulted to ensure all IT requirements are acceptable and can be delivered. The format of the data being shared must be compatible with the systems used by all those sharing. We will check that information is held in the same way and that it is accurate. If we need to share data urgently, we will test how well the systems used for sharing the data work when it is not urgent.

Is the information we are sharing accurate?

We will agree how any incorrect data will be corrected by all parties

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Agree common retention and destruction arrangements for the data sent and received

Staff in the area affected will be sufficiently trained to know when to share data and in what circumstances

7.2 Exceptional data sharing

UCEM complies with the Social Care Institute for Excellence guidelines on sharing information including compliance with the Prevent duty under the Counterterrorism and Security Act 2015. Information will be shared with the right people at the right time to:

- Prevent death or serious harm
- Coordinate effective and efficient responses
- Enable early interventions to prevent the escalation of risk
- Prevent abuse and harm that may increase the need for care and support
- Maintain and improve good practice in safeguarding students
- Reveal patterns of abuse that were previously undetected and that could identify others at risk of abuse
- Identify low-level concerns that may reveal people at risk of abuse
- Help people to access the right kind of support to reduce risk and promote wellbeing
- Help identify people who may pose a risk to others and, where possible, work to reduce offending behaviour
- Reduce organisational risk and protect reputation

8. CCTV

CCTV is closed circuit television. This is a private television system involving one, or more, cameras connected to one, or more, monitors for security, surveillance, law enforcement and general-purpose monitoring applications. Unlike public broadcast TV, it is a closed system intended for private use.

The personal information we collect includes CCTV images. This is to provide a safe and secure environment for all staff and visitors at Horizons. We aim to deter and prevent crime. We aim to identify, apprehend and prosecute offenders and identify actions where disciplinary action might be needed. CCTV protects our buildings and staff.

Recorded material is stored in a way that maintains the integrity of the information.

It is kept securely, and access is restricted.

Recorded images will be viewed in a restricted area.

The retention period is informed by the purpose for which the information is collected.

It is not kept for longer than is necessary.

9. Cookies

A cookie is a piece of information in the form of a very small text file that is placed on an internet user's hard drive. It is generated by a web page server. The information the cookie contains is set by the server and can be used by that server whenever the user visits the site. It is like an ID card telling the website the user has returned. Cookies make the interaction between users and websites faster and easier. They save time and make browsing more efficient. If you use the internet to carry out certain transactions with UCEM, your computer

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will store these 'cookies', in its memory. Cookies cannot read your computer's hard disk or make any information available to third parties. They are used so that we can easily recognise you when you return to our websites and, as a result, will enable us to provide you with a better service. We also track user traffic patterns in order to determine the effectiveness of our website. We do not release this information to third parties. If you prefer not to receive cookies while browsing our website, you can set your browser to refuse them. However, if you are a registered student with UCEM you will need to allow "per-session" cookies in order to access password-protected sites.

The use of your personal information in the above way is necessary for the legitimate interests of UCEM in operating and improving its website, analysing the use, and ensuring the security of the website. Our website collects very little personal information and we use it in ways that are compatible with your individual rights and freedoms. Where you enter your personal information into an online form on our website for any specified purpose, you will be told about the use we will make of that information (e.g. to send you newsletters or to enable your attendance at an event).

10. Contact details

If you have any queries or concerns about the handling of your personal data, please contact the Data Protection Officer at:

dataprotection@ucem.ac.uk

If you remain dissatisfied with the handling of your request or complaint, you have a right to appeal to the Information Commissioner. There is no charge for making an appeal. Contact details are:

The Information Commissioner's Office

Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF

Telephone: 01625 545745 or 0303 123 1113 (local rate) or email: casework@ico.gov.uk

Appendix One

‘Data Subject Access Requests’

Who can access information?

UCEM will make sure that only people that need personal information can have access to it. An individual can make a “data subject access request” about themselves. If a third-party requests information about an individual, the individual must give informed consent to the third party seeking that information. If your fee, or part of your fee is being paid to UCEM by a sponsor, or you are partaking in an apprenticeship programme of studies, information may be released to the sponsor organisation, including your name, date of birth, unique UCEM reference number, programme of study and module details, progress and assessment results.

Personal information held on employees will only be disclosed to members of the HR department, their own line manager, or a senior manager where specific action is required. If an employee accesses another employee’s records without authority, this is deemed an act of gross misconduct under our disciplinary policy and is a criminal offence under the DPA 2018.

Personal information held on Board members will only be disclosed to the HR department, members of the Executive Support team who deal with board administration, or Deans or Vice-Principals, should any action need to be taken in relation to conduct.

Identity Validation

To ensure that information is only disclosed to people who are entitled to see it the identity of the person requesting the information will be validated before disclosure.

Prospective Student

When receiving a request for information by any means information will only be disclosed if the following checks are passed:

Either

- a valid application number has been supplied.
- the name supplied matches the name held against the application.
- If an email address is supplied, it must match to an email held against the application

Or

- the following information is supplied and matches to an application: name, date of birth, programme applied for, approximate date of application (+/- 2 years).

Current Student

When receiving a request for information by post or email information will only be disclosed if the following checks are passed:

- A valid student number has been supplied.

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- The name supplied matches the name held against the student number.
- If an email address is supplied, it must match to an email held against the student.

When a request for information is made over the phone the identity of the caller will be verified by:

- Obtaining a valid student number.
- Obtaining a name that matches to the student number.
- Obtaining the name of the programme they are studying.
- If there is any doubt the date of birth should also be checked to confirm identity.

If a student is unable to supply their student number, then the following information should be supplied and should match to the record on SITS before disclosing the student number:

- Full name.
- Email address.
- Data of birth.
- Programme being studied

Past student

When receiving a request for information by any means information will only be disclosed if the following checks are passed:

Either

- a valid student number has been supplied.
- the name supplied matches the name held against the student number.
- If an email address is supplied, it must match to an email held against the student.

Or

The following information is supplied and matches to a record on SITS:

- name when studied at UCEM,
- date of birth,
- programme studied,
- approximate date of graduation (+/- 2 years).

Approved Third Party

This is when a student has given permission for a third party to access their information in writing and the approval has been verified as coming from the student.

The third party must provide the following information in all communication and this must match to the information held against the student:

- Student number and/or date of birth
- Student name whilst registered as a student

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- Third party name.
- Third party relationship with student.
- Signed/dated authorisation

Former Member of Staff

When receiving a request for information from a current member of staff the request must either come from the staff member's email address or be made in a 1-1 meeting with the staff member, either verbally or by the handing over of a written request.

Past Member of Staff

When receiving a request for information from a past member of staff the person should be requested to supply a full name.

Other Contacts on Database

UCEM holds information on suppliers, course delegates and other people who have worked with UCEM or who are marketed to by UCEM. If a request is received from one of these individuals for information by default provision of a name and address or name and email address that matches our records is viewed as sufficient information to identify them.

Making a data subject access request

All staff members are trained in data protection as part of their induction and on an ongoing basis so will be able to recognise a request for personal data and will pass it immediately to the DPO.

Appendix Two contains a flowchart for the process of dealing with a subject access request.

How to make the request

The request should be in writing and should be made by the individual (the data subject) unless they have authorised a third party to make the request. The identity validation process set out above will ensure that personal information is only disclosed to someone who has the right to see it.

What you are entitled to

Subject access entitles an individual to more than just a copy of their personal data. An individual is also entitled to be:

- told whether any personal data is being processed – so, if we hold no personal data about the requester, we must still respond to you to let you know this;
- given a description of the personal data, the reasons it is being processed, and whether it will be given to any other organisations or people; and
- given details of the source of the data (if known).

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What we will do

The request will be logged in the Data Subject Access Request log on the SharePoint system. The log will record the date and time the request was received, who it was received from, the staff member who received the request and a reference number for the request will be allocated.

Frequent requests

The DPA 2018 allows some discretion when dealing with requests that are made at unreasonable intervals. It says we are not obliged to comply with an identical or similar request to one we have already dealt with, unless a reasonable interval has elapsed between the first request and any subsequent ones. Although there is no statutory definition of a reasonable interval as it depends on factors such as how often the data is updated, we will generally consider a reasonable interval to be within the last three months. A search of previous requests will be made to ensure that this is not a similar request to one made previously. Legal advice will always be sought if a request is to be refused. The DPA 2018 also provides for refusing on the basis of 'manifestly unfounded or excessive' requests (section 53)

'Manifestly unfounded or excessive requests'

The courts have determined that there is scope for assessing whether, in the circumstances of a particular case, complying with a request by supplying a copy of the requested information in permanent form would result in so much work or expense as to outweigh the requester's right of access to their personal data.

The courts have also made it clear that in assessing whether complying with a Subject Access Request would involve disproportionate effort we may take into account difficulties which occur throughout the process of complying with the request, including any difficulties we encounter in finding the requested information.

If the request for information is very vague clarification can be sought as to what is being requested. If such clarification is sought this should be noted in the Subject Access log on SharePoint. With manifestly unfounded or excessive requests we have the discretion to charge either a reasonable fee or to refuse to comply with the request.

Finding the information

The DPO will coordinate the response but may need to contact the Information Champions in each area who will be responsible for searching the records in their area and providing the information to the DPO.

Timescales

The time period for dealing with a DSAR under the DPA 2018 is without undue delay and within one month. The time period starts from the day after the request is received to the corresponding calendar date in the next month. If the following month is shorter it is the last day of the following month. If a corresponding day is a weekend or public holiday it is the next working day.

UCEM will endeavour to respond as soon as possible.

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Format and exemptions

The DPO is responsible for deciding what information should be disclosed, what exemptions should be applied (see below) and what format the response should be sent in. UCEM will try to provide information in the format which has been requested but cannot guarantee that this will always be possible or practical.

Where exemptions are applied legal advice will be sought. Possible exemptions include (this list is not exhaustive):

- References given (not received)
- Publicly available information
- Management information (such as restructuring or possible redundancies)
- Negotiations with the requestor
- Legal advice and proceedings
- Third party data (see Appendix Three for details)

Exemption for requests for information about the outcome of academic, professional or other examinations

These rules, which apply to requests for examination scripts, marks or markers' comments, are designed to prevent the right of subject access being used as a means of circumventing an examination body's processes for announcing results. Information comprising the answers given by a candidate during an examination is exempt from the right of subject access. A Data Subject Access Request ('DSAR') cannot be used to obtain a copy of an individual's examination script. Although this exemption does not extend to an examiner's comments on a candidate's performance in an examination (whether those comments are marked on the examination script or recorded on a separate marking sheet), or to details of the marks awarded, there is a special rule governing the time limit for responding to a Subject Access Request for such information in cases where the Subject Access Request is made before the results are announced. In such cases, a response must be provided within the earlier of:

- five months of the date of the request; or
- if earlier, before the end of the period of 40 days beginning with the announcement of the results

(DPA 2018 Schedule 2 Part 4 para 25). Where a request is made for an individual's examination marks, a response may only be refused (or delayed) for reasons permitted by the legislation. We would not refuse to provide details of examination marks in response to a Subject Access Request because the requester, or their sponsor, had failed to pay their tuition fees. Clearly, though, providing information about examination results is not the same as conferring a qualification.

Sending the information

A full audit trail will be maintained by the DPO of the 'Business Data Systems' interrogated, statistics showing number of items identified, exemptions applied and how decisions about what should be disclosed have been taken.

When the information is sent the Data Subject Access Request (DSAR) log on the 'Compliance' section of SharePoint will be updated confirming:

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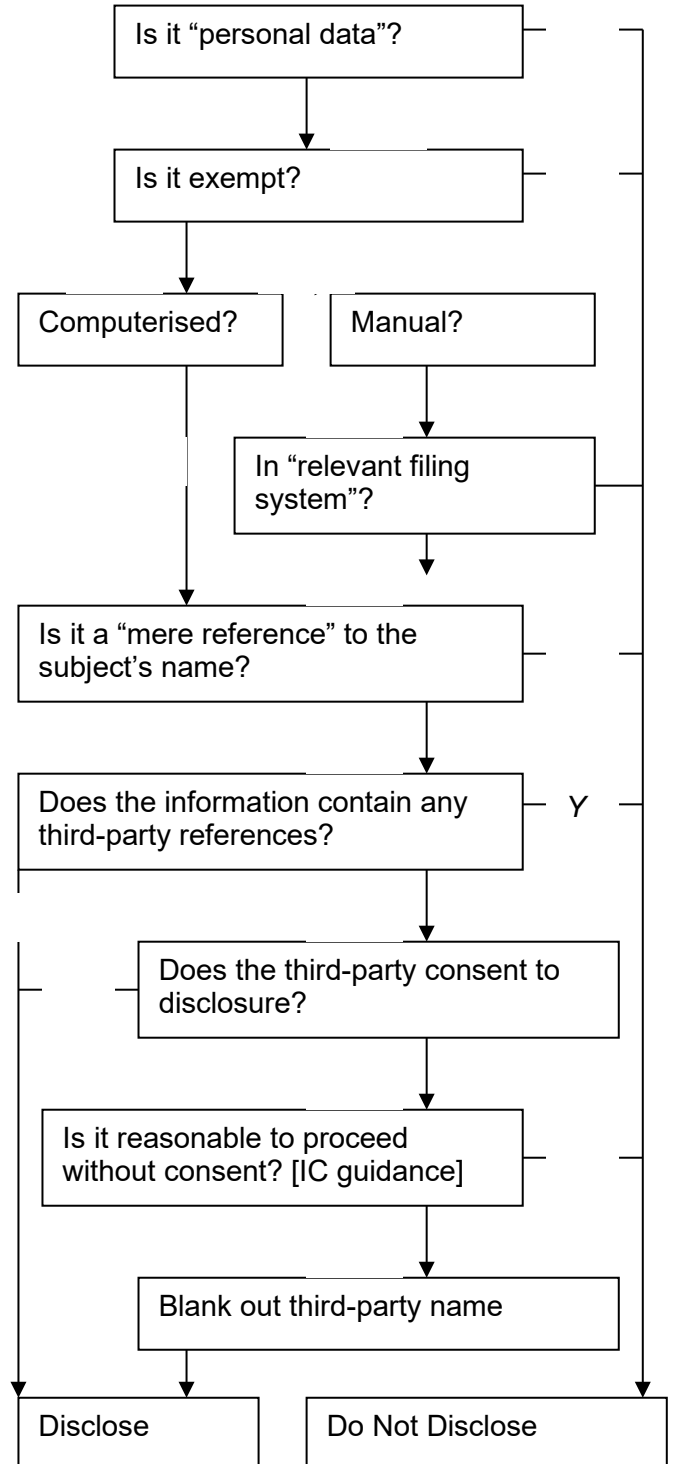
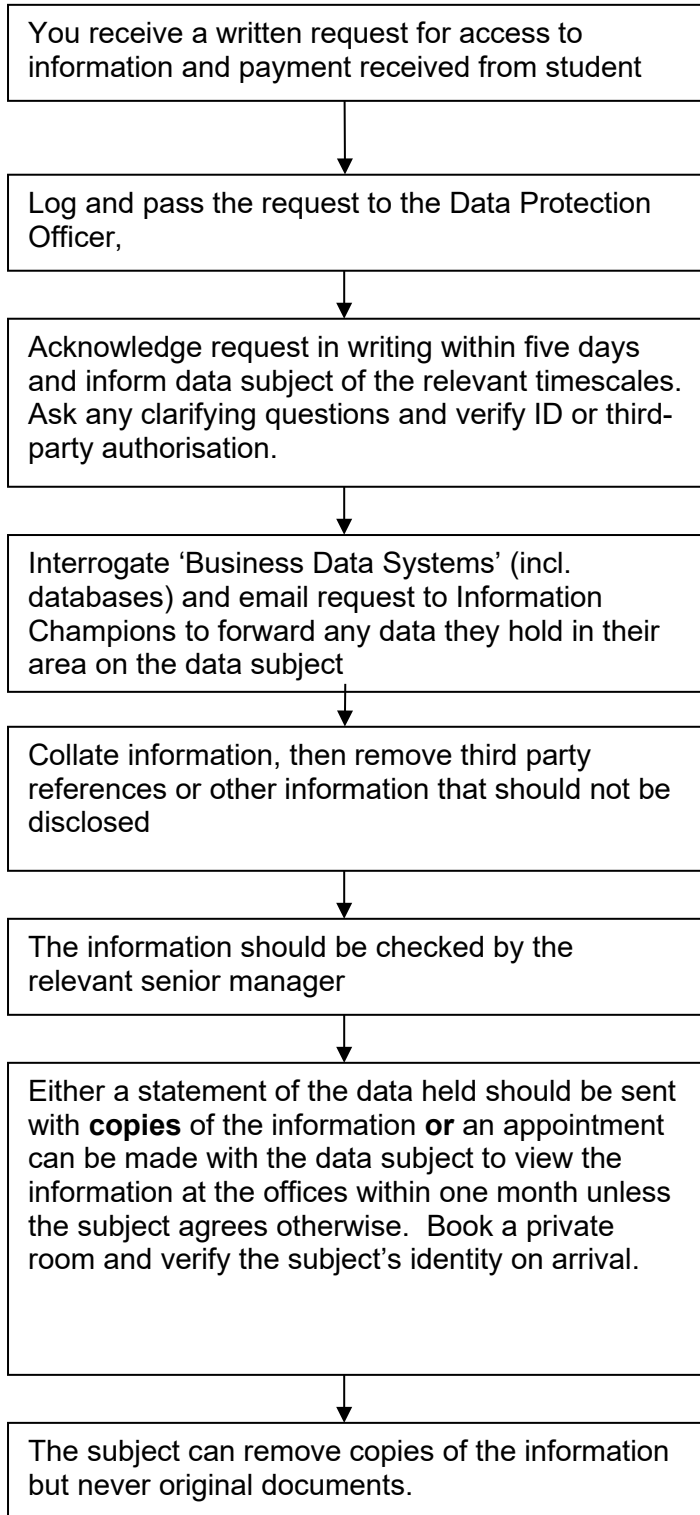
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- DSAR Reference number
- Date and time when the DSAR was received
- Received By [name]
- Entered on log [Date and time]
- Requestor [Name and student number where applicable]
- Further information requested [Date and time]
- Information received [Date and time]
- Response due [Date and time]
- Response sent [Date and time]
- Accompanying notes

A copy of the information supplied will be retained by the DPO.

Appendix Two

Request for personal information flowchart



Appendix Three

Third Party Data

The Data Protection Act 2018 says we do not have to comply with a Subject Access Request if to do so would mean disclosing information about another individual who can be identified from that information, except where:

- the other individual has consented to the disclosure; or
- it is reasonable in all the circumstances to comply with the request without that individual's consent.

Although we may sometimes be able to disclose information relating to a third party, we need to decide whether it is appropriate to do so in each case. This decision will involve balancing the data subject's right of access against the other individual's rights in respect of their own personal data. If the other person consents to us disclosing the information about them, it would be unreasonable not to do so. However, if there is no such consent, we must decide whether to disclose the information anyway.

Step 1 – Does the request require the disclosure of information that identifies a third party?

Is it possible to comply with the request without revealing information that relates to and identifies a third-party individual? We must take into account the information we are disclosing and any information we reasonably believe the person making the request may have, or may get hold of, that would identify the third-party individual.

The obligation is to provide information rather than documents, so we may delete names or edit documents if the third-party information does not form part of the requested information. However, if it is impossible to separate the third-party information from that requested and still comply with the request, we will take account of the following considerations.

Step 2 – Has the third-party individual consented?

In practice, the clearest basis for justifying the disclosure of third-party information in response to a Data Subject Access Request is that the third party has given their consent. It is therefore good practice to ask relevant third parties for consent to the disclosure of their personal data in response to a Data Subject Access Request. However, we are not obliged to try to get consent and, in some circumstances, it will clearly be reasonable to disclose without trying to get consent, such as where the information concerned will be known to the requester anyway. It may not always be appropriate to try to get consent, for instance if to do so would inevitably involve a disclosure of personal data about the requester to the third party.

Step 3 – Would it be reasonable in all the circumstances to disclose without consent?

In practice, it may sometimes be difficult to get third-party consent, e.g. the third party might refuse consent or might be difficult to find. If so, we must consider whether it is 'reasonable in all the circumstances' to disclose the information about the third party anyway.

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The Data Protection Act 2018 provides a non-exhaustive list of factors to be taken into account when making this decision. These include:

- any duty of confidentiality owed to the third-party individual;
- any steps you have taken to try to get the third-party individual's consent;
- whether the third-party individual is capable of giving consent; and
- any stated refusal of consent by the third-party individual.

Confidentiality is one of the factors you must take into account when deciding whether to disclose information about a third party without their consent. A duty of confidence arises where information that is not generally available to the public has been disclosed to you in the expectation that it will remain confidential.

The following relationships would generally carry with them a duty of confidence in relation to information disclosed.

- Medical (doctor and patient)
- Employment (employer and employee)
- Legal (solicitor and client)
- Financial (bank and customer)
- Caring (counsellor and client)

Appendix Four

Information Security

Buildings

We take the following measures to make sure the information we keep is secure within our buildings, and that unauthorised people cannot access it:

- Controlled access to buildings
- ID cards for staff
- Intruder alarms
- CCTV
- Out of hours access policy
- Visitors registered and escorted whilst in the building

Documents

The following guidance helps to keep documents secure:

- Paper file covers are marked with “Confidential” plus “Human Resources”, “Financial”, “Legal” or “Administrative” to classify the contents and retention instructions
- Strong passwords are used, at least seven characters, upper and lower case, using numbers and special keyboard characters (such as currency symbols)
- Passwords are not shared
- You should only be able to access the information you need to do your job. Please contact your manager if you come across personal data that is not secure.
- If you hold confidential files keep them in a locked cabinet and never leave them in open trays or on desktops at the end of the day, or while you are away from your desk.
- If you are away from your desk you should “lock” your computer. You can do this by pressing “ctrl + alt + delete” and then choosing “lock” (or start symbol and L). Staff are accountable for all computer activity and transactions made under their user ID, whether they are present or not.
- Before a file is archived make a note of the date for destruction (or review) on the paper, or electronic, file. This should be x years from the date of closure of the file.
- Files should be destroyed at the appropriate time under UCEM’s data retention and destruction schedule
- Keys to any UCEM property or equipment should be unmarked and kept in a secure key store.

Please also refer to the Remote Working Policy for further detailed advice on remote working and the use of laptops, mobile phones, tablets and memory sticks.

Communications

Many of the breaches of data security reported to the Information Commissioner involve issues with email and all staff must have regard to the following:

- Consider whether the content of email should be encrypted, or password protected
- Some email software “suggests” addresses as you type. Check which is the correct one.

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- Use blind copy, not carbon copy, if you do not want recipient's email revealed to others
- Be very careful with groups on email. Check the current listing before using. Does everyone in the group need to see the email? Is it appropriate?
- If you send a sensitive email from a secure server to an insecure recipient, security will be threatened. Check the security of the recipient and whether there is a data sharing agreement in place. If necessary, agree a different way to send the information
- Be wary of long email chains. There might be people at the beginning of the chain who should not see the email you are sending.
- Be aware that email is an open system, and emails may have to be disclosed because of a Subject Access Request. Do not send an email which you would not be happy to have read out in open court.

Storage

All staff are responsible for keeping a record of their work in accordance with agreed procedures. Staff can make use of social media for work purposes but must ensure that anything they contribute which has continuing value to the organisation is added to the organisation's records. The boundaries between work and personal easily blur. If the communication relates to work, it is corporate information which must be available to those who need that information. Emails sent, or received, from portable devices should be stored in the right place so those who need to see them can do so.

When a file is opened there should be a review, or destruction, date which will either be when the file is closed, or a set period after closure. Whether the file is manual, electronic, or both, a review or destruction date should be clearly noted on the file. For "general" or "management" files these can be reviewed two years from creation with an assumption that both paper and electronic copies will be destroyed unless there is a clear reason why it should be kept. For archive purposes only one copy of most management files is required and will be maintained by the Executive Support Team

Both electronic and paper files should be stored in systems allowing easy access to those who need to use those files. Files contain information that can be useful, possibly vital, for others to know. Equally files may contain sensitive personal data and should only be accessible to those who need to know. We have guidelines on storage of information, and these should be followed

All files should be stored securely. For detail on secure storage electronically and the use of laptops, tablets, mobile phones and memory sticks please refer to the Remote Working Policy.

There is a Data 'Retention and Destruction Schedule' which should be complied with.

Appendix Five

Data security breach procedure

A personal data breach means a breach of security leading to the destruction, loss, alteration, unauthorised disclosure of, or access to, personal data. It can be about a breach of confidentiality, availability of data or integrity of data. All personal data breaches are security incidents. Not all security incidents are necessarily personal data breaches.

Examples of data breaches are:

- Data is sent to the wrong person or files are left in a public area.
- IT equipment is lost or stolen. Even if the information is encrypted a potential information security breach has occurred and needs to be investigated
- Paper records are lost or stolen.
- Data is destroyed when it should not be.
- Data is damaged in some manner.
- Mobile technology is lost or stolen

What to do first

On becoming aware of a data security breach, the IT support helpdesk must be informed immediately. They will then log the issue in the **Information Security Breach Log**.

As soon as IT Support have logged the breach, they will attempt to contact the DPO as it is their responsibility to ensure that the breach is handled correctly.

If the breach is serious (see definition of serious below) then the DPO should be contacted immediately by phone or in person. If they cannot be contacted, then attempts should be made to contact another Vice-Principal or Dean so that they are aware of the situation.

For a non-serious breach, so long as the DPO can be contacted within 24 hours there is no need to contact another Vice-Principal or Dean.

An information security breach will be classified as serious if there is a likely risk to individuals as a result of the breach. Examples of a serious breach are:

- Data has been disclosed due to malicious action (e.g. a hacker has gained access to information)
- Electronic data on a number of people (students or staff) has been lost and it is unencrypted
- Information on a number of people has been disclosed and the information contains more than a simple list of names
- Disability, health or banking information has been disclosed for any individual

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Investigate breach

IT Support should immediately attempt to establish the nature/risk of breach, as not all breaches will be significant, by establishing the following:

1. What type of data is involved?
2. Who is the data controller? If UCEM has disclosed any information it is important, but if UCEM is not the data controller then this means other organisations will need to be informed
3. How sensitive is the data? – both in terms of the DPA and to the individuals.
4. What damage could be caused to individuals?
5. What data subjects have been affected?
6. How many data subjects have been affected?
7. What is the breach?
8. What systems are affected?
9. Where is the relevant information held?
10. Any third parties involved? E.g. other data controllers or data processors
11. Are there any wider consequences to consider? – for example physical safety

Containment

Once it is clear what has happened and what has been exposed then the first priority is one of containment. That is ensuring business continuity by deciding what immediate corrective action is required to close the breach. This should consider whether anything can be done to recover the loss and any steps to limit the damage. The actions taken will need to be documented.

Notification

We will notify the relevant supervisory authority of a breach where it is likely to result in a risk to the rights and freedoms of individuals. If unaddressed such a breach is likely to have a significant detrimental effect on individuals – for example, result in discrimination, damage to reputation, financial loss, loss of confidentiality or any other significant economic or social disadvantage.

Where a breach is likely to result in a high risk to the rights and freedoms of individuals, we will notify those concerned directly.

If communicating the most appropriate method of communication should be selected (post, email, phone) which will be influenced by:

- Urgency/cost
- Quality of database – it is not possible to phone if no phone numbers exist
- Information to be provided – if forms are to be supplied the phone is not appropriate

The actual communication should contain the following:

- The nature of the breach including how and where it happened

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- Name and contact details of the Data Protection Officer
- Likely consequences
- What data was involved
- The steps taken, or being taken, to mitigate any issues
- Steps data subject can take to avoid issues (e.g. resetting passwords)
- Links to/information on any further help available

Importantly it must be written in clear plain English and must be checked to ensure the communication is not going to compound the issue. A 'high risk' means the threshold for notifying individuals is higher than for notifying the relevant supervisory authority.

A notifiable breach will be reported to the relevant supervisory authority **within 72 hours** of UCEM becoming aware of it. The DPA 2018 recognises that it will often be impossible to investigate a breach fully within that time-period and allows for the provision of information in phases. If the breach is sufficiently serious to warrant notification to the public, UCEM will do this without undue delay.

Record keeping and learning lessons

Throughout the process everything should be documented in the **Information Security Breach Report** for the particular incident. This is vital as the ICO will expect to see documentary evidence that an investigation has been carried out.

These reports should be stored in the Data Protection File for five years.

The **Information Security Breach Log** should be used to capture the top-level information and will be used as a summary and to ensure all actions have been closed. The detail on the breach and the activities taken to resolve it should be recorded as the breach is investigated and resolved.

There is a naming convention – including folder, title, date and initials to help with audit trail. The DPO is responsible for this.

All Information Security Breach Reports will be presented to the Senior Leadership Team at their next available meeting.

Appendix Six

HESA Student Collection Notice

Applicable to 2021/22 academic year

The Higher Education Statistics Agency Limited (HESA) is the body responsible for collecting and disseminating information about higher education in the UK and the Designated Data Body for England [online]. Available at the [HESA Website](http://www.hesa.ac.uk/about): www.hesa.ac.uk/about [accessed 27 July 2021].

HESA is a Controller of your information. HESA's wholly owned subsidiary company HESA Services Limited acts as a Processor to do work on behalf of HESA and other organisations described in the notice below but may also act as a Controller.

Reference to "your provider" refers to the higher education provider which you attend. This notice relates to information about you which will be collected by your provider and passed to HESA and to other organisations as described below.

This notice sets out information about HESA and other controllers of your data, how and why they process your data, the legal bases for this processing, and your rights under data protection legislation. This notice is regularly reviewed and sometimes updated, for example when organisations change their name, or to clarify how your information is used. Updates may be made at any time and you will always find the most up to date version at [HESA website \[online\]](http://www.hesa.ac.uk/about/regulation/daya-protection/notices). Available at: www.hesa.ac.uk/about/regulation/daya-protection/notices [accessed 27 July 2021].

Submission of your information to HESA

Data about you will be supplied to HESA for the purposes set out below. All information is used in compliance with data protection legislation.

Every year your provider will send some of the information it holds about you to HESA ("your HESA information").

HESA is the official source of data about UK universities, higher education colleges, alternative HE providers, and recognised higher education courses taught at further education institutions in Wales. HESA is a registered charity and operates on a not-for-profit basis.

Your HESA information is used for a variety of purposes by HESA and by third parties as described below. HESA may charge other organisations to whom it provides services and data. Uses of your HESA information may include linking parts of it to other information, as described below. Some information provided to HESA is retained indefinitely for statistical research purposes. Your HESA information will not be used to make automated decisions about you.

All uses of HESA information must comply with the UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018.

HESA is developing a new system for collecting student information called the HESA Data Future Platform that will go live from the 2020/21 academic year. More information about this programme of work can be found on the [HESA website \[online\]](http://www.hesa.ac.uk/innovation/data-futures). Available at:

www.hesa.ac.uk/innovation/data-futures [accessed 27 July 2021]. If personal data about you is sent to HESA as part of any pilot of the new HESA Data Platform, it will only be used by HESA, your provider, and higher education funding and regulatory bodies to evaluate system functionality and will be deleted at the end of the Data Platform development programme in 2021.

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Categories of information submitted to HESA, including special categories of data

HESA collects data about the personal characteristics of students and information about their studies and qualifications. This might include sensitive details about students' personal lives used for equality and diversity monitoring.

Data submitted to HESA by your provider includes details about the course you are studying, and any qualifications awarded to you during the academic year. It also includes personal details about you such as your name and date of birth, your prior qualifications, and where you lived before starting your course. Information about your disability status, ethnicity, sexual orientation, gender reassignment or religion is classed as 'Special categories of data' under the UK GDPR. If your Provider provides this information to HESA it will be included in your HESA information. This information is necessary for monitoring equality of opportunity and eliminating unlawful discrimination in accordance with the Equality Act 2010 and Section 75 of the Northern Ireland Act 1998.

This information will also be processed for statistics and statistical research where this is necessary and in the public interest. Your sensitive information will not be used to make decisions about you.

Some other information is used to enable research into the provision of fair access to higher education, for example information as to whether you are a care leaver. If your provider is in England, your HESA information may include details of any financial support you may receive from your higher education provider.

A full list of data items that may be included in your HESA information for the 2019/20 academic year can be found on the [HESA website](http://www.hesa.ac.uk/collection/c18051/) [online]. Available at: www.hesa.ac.uk/collection/c18051/ [accessed 27 July 2021]. Please note that not all data items are collected for all students.

Purpose 1 – Named data used for public functions

Your HESA information is used by public authorities for their statutory and/or public functions including funding, regulation and policy-making purposes. Your information is provided by reference to your name, but your information will not be used to make decisions about you.

Education statistics and data

HESA shares your HESA information with public authorities who require it to carry out their statutory and/or public functions. This data sharing is carried out in the public interest or in the exercise of official authority vested in HESA and the public authorities. Your HESA information will be shared with these organisations as part of a large dataset which contains similar information about other people who have followed higher education courses in the UK.

These organisations are also controllers of your HESA information. This means that they make their own decisions about how to use it, and this may include publishing statistics and sharing the information with third parties, such as other government or public bodies or other organisations of the type listed elsewhere in this collection notice. However, all uses that they make of your HESA information will be within the purposes set out in this collection notice and covered by data sharing agreements with HESA. These organisations will not use the data for the purposes of identifying you as an individual or to take decisions about you, except as described in Purpose 2

below. These organisations may retain HESA information indefinitely for statistical and research purposes, or for fixed terms depending on the terms of their data sharing agreements with HESA.

Such organisations may include:

- Department for Education

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- Department for Business, Energy and Industrial Strategy
- Welsh Government
- Scottish Government
- Department for the Economy
- Office for Students
- Higher Education Funding Council for Wales
- Scottish Further and Higher Education Funding Council
- UK Research and Innovation
- Education and Skills Funding Agency
- Teaching Regulation Agency
- National Health Service bodies and organisations working with them e.g. Health Education England
- General Medical Council
- Quality Assurance Agency for Higher Education
- UCAS

and any successor bodies. Further controllers may be added to the list from time to time – please see the online version of this notice on the [HESA Website](https://www.hesa.ac.uk/about/regulation/sata-protection/notices) [online]. Available at: www.hesa.ac.uk/about/regulation/sata-protection/notices [accessed 27 July 2021].

Other uses of named data

Your HESA information may also be used by some organisations who are also controllers who carry out statistical and research tasks in the public interest or in the exercise of official authority that are not connected with education. Such uses may include the following:

- Production of statistics in relation to the population of the UK and for statistical research, undertaken by the Office for National Statistics. Further information can be found on the ONS website.
- Production of statistics and statistical research undertaken by National Records of Scotland and the Northern Ireland Statistics and Research Agency
- Monitoring of public expenditure by the National Audit Office

The above list of organisations who may receive your HESA information will be subject to change over time. For example, HESA is seeking to reduce the burden on higher education providers by encouraging other organisations who currently collect information about students direct from higher education providers to collect and receive information through HESA. The above list will be updated on the [HESA Website](https://www.hesa.ac.uk/about/regulation/sata-protection/notices) [online]. Available at: www.hesa.ac.uk/about/regulation/sata-protection/notices [accessed 27 July 2021] from time to time, and you will need to monitor this link yourself if you wish to be aware of changes.

Legal basis for processing your information for Purpose 1

Processing of your HESA information for Purpose 1 is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (See GDPR Article 6(1)(e)) and for statistical and research purposes (See GDPR Article 89).

Processing of Special Categories of data is necessary for statistical and research purposes in accordance with Article 89(1) based on the duties in the Equality Act 2010, Section 75 of the Northern Ireland Act 1998, or the Digital Economy Act 2017 (See GDPR Article 9(2)(j))

Purpose 2 - Administrative uses

Your named data may be processed by public authorities for the detection or prosecution of fraud. These uses of your HESA information may result in decisions being made about you. In the exercise of their official authority it may be necessary for the UK higher education funding and regulatory bodies listed in Purpose 1 to use your HESA information which is

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passed to them for Purpose 1 to identify you and take decisions about you as an individual for the following purposes only:

Fraud detection and prevention - Your HESA information may be used to audit claims to public funding and student finance, and to detect and prevent fraud. This may include sharing your information with other controllers (for example the Student Loans Company, Pearson Education).

Previous study - If your higher education provider is in England: The Office for Students may share your previous education records with this provider, including HESA information submitted by other higher education providers, to determine the nature of any prior higher education study, including your current qualifications. This may be used to make decisions about the fees you are required to pay, the support available to you or the availability of a place for you to study with a higher education provider.

For these purposes your HESA information may be held separately (in addition to being held within datasets for Purpose 1) and retained for as long as necessary for the purposes of detection or prosecution of fraud and any associated legal or audit purposes.

Legal basis for processing your information for Purpose 2

Processing of your HESA information for Purpose 2 is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (See GDPR Article 6(1)(e)).

Purpose 3 - HESA publications

HESA publishes statistics about students in higher education.

Part of HESA's role is to produce and publish information about higher education in the public interest. This includes some [National Statistics publications](#) [online]. Available at: www.statisticsauthority.gov.uk/about-the-authority/uk-statistical-system/types-of-official-statistics [accessed 27 July 2021] and online business intelligence and research services. When producing this material for publication, HESA applies its disclosure control, the HESA Standard Rounding Methodology, to ensure that no Personal Data is included and that individuals cannot be identified from published material.

Processing within this Purpose 3 may also be carried out by HESA Services Limited, HESA's wholly owned subsidiary company.

Legal basis for processing your information for Purpose 3

Processing of your HESA information for Purpose 3 is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (See GDPR Article 6(1)(e)) and for statistical and research purposes (See GDPR Article 89).

Processing of Special Categories of personal data is necessary for statistical and research purposes in accordance with Article 89(1) based on the Equality Act 2010 and Section 75 of the Northern Ireland Act 1998 (See GDPR Article 9(2)(j))

Purpose 4 - Equal opportunity, research, journalism and other processing for statistical and research purposes

HESA information is used for research into higher education and the student population. This research can be academic, commercial, journalistic or for personal reasons. HESA prohibits the identification of individual students by those carrying out this research and information is not shared on a named basis.

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HESA and the other controllers (see Purpose 1) may also supply information to third parties where there is a legitimate interest in doing so for statistical and research purposes.

Examples of use for this purpose include:

- Provision of information to students and prospective students
- Equal opportunities monitoring
- Research - This may be academic research, commercial research or other statistical research where this is in the public interest
- Journalism - Where the relevant publication would be in the public interest e.g. league tables

Users to whom information may be supplied for Purpose 4 include:

- Higher education sector bodies
- Higher education providers
- Academic researchers and students
- Commercial organisations (e.g. recruitment firms, housing providers, graduate employers)
- Unions
- Non-governmental organisations and charities
- Local, regional and national government bodies
- Journalists

Information supplied by HESA to third parties within Purpose 4 is supplied under contracts which require that individuals shall not be identified from the supplied information and this means that they also cannot use it to take decisions about you. A copy of HESA's current agreement for the supply of information is available on the [HESA website](#) [online]. Available at: www.hesa.ac.uk/services/custom/data/timescales-costs [accessed 27 July 2021]. Each agreement specifies the duration for which data may be processed. This is usually one year but may be longer if necessary, for the specific research purpose. Each request for HESA information under Purpose 4 is assessed for its compliance with data protection legislation and its compatibility with this Collection Notice. HESA ensures that only the minimum amount of HESA information necessary for the specified research purpose is supplied to users. If the supplied information is to be published

HESA's Rounding Methodology or an equivalent disclosure control must be applied to ensure that individuals cannot be identified from the published material and it does not constitute Personal Data.

HESA student information may be linked to school and/or further education college information and supplied to researchers. A copy of the Agreement for the supply of linked data about pupils from schools in England is available on the [Government website](#) [online]. Available at: www.gov.uk/government/collections/national-pupil-database [accessed 27 July 2021].

Processing within this Purpose 4 is carried out by HESA, HESA Services Limited, HESA's wholly owned subsidiary company. Other controllers (listed under Purpose 1 above) may also process data for this purpose where this is necessary to fulfil their public functions.

Legal basis for processing your information for Purpose 4

Processing of your HESA information for Purpose 4 is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (See GDPR Article 6(1)(e)).

Processing may also be necessary for the purposes of the legitimate interests of HESA in disseminating higher education information, or the legitimate interests of third parties in undertaking research in the field of higher education (See GDPR Article 6(1)(f)). In either case processing of your HESA information is necessary for statistical and research purposes in accordance with GDPR Article 89(1).

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Processing of Special Categories of personal data is necessary for statistical and research purposes in accordance with Article 89(1) based on the duties in the Equality Act 2010 and Section 75 of the Northern Ireland Act 1998 (See GDPR Article 9(2)(j))

Linking of your HESA information to other information

HESA information is sometimes linked to other data sources to enable more detailed research and analysis. As indicated above, where HESA and organisations covered by Purpose 1 use HESA information this may include linking named or pseudonymised HESA information to other information for research purposes. Examples include linking to:

- National Student Survey data – to place the results of this survey in context
- School and Further Education data – to research progression to higher education
- Student Loans Company data – to research the use of student finance
- Qualification awarding bodies data – to research the value and outcomes of qualifications
- Employment, tax, and benefits data – to research the earnings of graduates and to better understand the outcomes of education (Guidance on the use of HESA records matched to tax, benefits and employment data is available on the [Government website](#) [online]. Available at: www.gov.uk/government/publications/longitudinal-education-outcomes-study-how-we-use-and-share-data [accessed 27 July 2021]
- UCAS data – to understand entry rates to higher education
- If you are a medical student your HESA information may be included in the [UKMED research database](#) [online]. Available at: www.ukmed.ac.uk [accessed 27 July 2021]. The General Medical Council is the controller for this database used for researching doctors' progression through their education and training.

Where HESA provides information from your HESA information to third parties under Purpose 4, the permitted uses of the information by a third party may include linking HESA information to other information held by the third party.

Permission for such use is considered on a case by case basis. It is only given where the linking is for the purposes outlined in Purpose 4 and subject to the requirement not to carry out linking to identify individuals.

Destinations information for schools and colleges

If you attended a school or college in England or Wales linked data may be disclosed to the last school or college, you attended (or its successor body) and to Ofsted or Estyn in the exercise of their official authority to enable them to assess the outcomes of secondary education.

The HESA Initial Teacher Training record (“ITT”)

Information about teacher training students in England is submitted to the Department for Education (DfE) and the Teaching Regulation Agency (TRA) via HESA.

If you are on an ITT course at a higher education provider in England, HESA will collect additional information about you and provide this to the DfE and TRA. ITT courses are those that lead to Qualified Teacher Status (QTS) or Early Years Teacher Status (EYTS).

The TRA is an executive agency of the Department for Education (DfE) and, for the purposes of the UK GDPR, DfE and HESA are separate controllers of the ITT record.

DfE will process your personal data in exercise of its official authority, namely the funding, administration and monitoring of ITT schemes in England. DfE will use your data to establish a record on the Initial Teacher Training Data Management System (ITTDMS) and register your course details and subsequent completion.

TRA will process your personal data in the exercise of its official authority, namely the award of QTS and EYTS and the maintenance of the list of teachers in England. TRA will use your data to establish a record on the database of teachers and allocate to you a teacher

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reference number (TRN). TRA will contact you to provide confirmation of your TRN and any subsequent award of QTS.

DfE and TRA may share personal data with your provider, and where the law allows it or there is a legal requirement for sharing to take place, its partners and contractors for this purpose and may link it to other sources of information about you. Partners include employers of teachers, teacher employment agencies, Ofsted, Capita Teachers' Pensions and other executive agencies of the DfE.

Student and leaver surveys

You may be asked to provide information about your experience as a student and your activities after you graduate as part of national surveys.

Your contact details may be passed to survey contractors to carry out the National Student Survey (NSS), other surveys of students' views about their study, and surveys of student finances, on behalf of some of the organisations listed under Purpose 1 above.

After you graduate you may be contacted and asked to complete one or more surveys into the outcomes of higher education and your activities after graduation. These surveys are used to create statistics to meet the public interest in the outcomes of higher education.

Information from third parties (such as your parent, or your provider if you're in further study) might be used to complete sections of the surveys if you can't be contacted. The surveys may be undertaken by your provider or by an organisation contracted for that purpose.

Your provider will hold your contact details after you graduate in order for you to be contacted to complete the Graduate Outcomes survey. Your contact details will be passed to HESA and the organisation(s) contracted by HESA to assist it to undertake the Graduate Outcomes survey. HESA's contractors will only use your contact details for the survey and will delete them when the survey is closed. HESA may hold your contact details for further graduate outcomes surveys where these are in the public interest. Your responses to the Graduate Outcomes survey will be made available to your provider, and your provider may choose to add additional questions to the survey for their own use.

Further privacy and data protection information will be provided if you are contacted for any of these surveys. You might also be contacted as part of an audit to check that the survey has been undertaken properly.

Legal basis for processing your information to conduct national surveys

Processing of your information to conduct the student and graduate surveys is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (See GDPR Article 6(1)(e)) and for statistical and research purposes (See GDPR Article 89).

Your rights

Data protection legislation gives you rights over your personal data. These include rights to know what information is processed about you and how it is processed. These rights have to be met by HESA and any other organisation which takes decisions about how or why your information is processed.

You have the right to be informed about how your personal data is used. This Student Collection Notice is regularly reviewed to ensure that it accurately describes how your HESA information is used. This notice may be updated from time to time, for example when new legislation is enacted, or when new policies are implemented by the public authorities listed under Purpose 1. The most up to date version can always be found on the [HESA Website](https://www.hesa.ac.uk/about/regulation/sata-protection/notices) [online]. Available at: www.hesa.ac.uk/about/regulation/sata-protection/notices [accessed 12 February 2021].

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For further information about data protection, including contact details for HESA and HESA Services' Data Protection Officer please see the [HESA website](https://www.hesa.ac.uk/about/regulation/data-protection) [online]. Available at: www.hesa.ac.uk/about/regulation/data-protection [accessed 27 July 2021]. If you have questions about how your HESA information is used, please contact data.protection@hesa.ac.uk.

Under the UK GDPR you have the right of access to your personal information and rights to rectify inaccurate information; restrict processing; and object to processing. These rights are limited in certain circumstances by the UK GDPR and the Data Protection Act 2018 where data is only processed for research or statistical purposes. If you think there is a problem with the way HESA is handling your data, you have the right to complain to the Information Commissioner's Office [online]. Available at: ico.org.uk/.

Data transfers to other countries

Your HESA information may be transferred to countries outside the European Union for the purposes described above.

Your HESA information will only be transferred to countries whose data protection laws have been assessed as adequate by the European Commission, or where adequate safeguards, such as the EU-US Privacy Shield, are in place to protect your HESA information. European Commission decisions on the adequacy of the protection of personal data in third countries are published on the [European Commission website](https://ec.europa.eu/info/policies/justice-and-fundamental-rights_en) [online]. Further information is available at:

ec.europa.eu/info/policies/justice-and-fundamental-rights_en [accessed 27 July 2021]

Note:

- Personal data can be transferred from UK to EEA
- Personal data can be transferred from EEA to UK until 40 April 2021 – US is awaiting confirmation from EC regarding adequacy decision

Source: Shoosmiths (2021) 'DSARs and other practical data protection issues for employers', © Shoosmiths LLP 2021

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HESA Staff Collection Notice

Applicable to 2021/22 academic year

The Higher Education Statistics Agency Limited (HESA) is the body responsible for collecting and disseminating information about higher education in the UK and the Designated Data Body for England (see [HESA website](#) for more information). HESA is a Controller of your information. HESA's wholly owned subsidiary company HESA Services Limited acts as a Processor to do work on behalf of HESA and other organisations described in the notice below but may also act as a Controller.

Reference to "your provider" refers to the higher education provider where you work. This notice relates to information about you which will be collected by your provider and passed to HESA and to other organisations as described below.

This notice sets out information about HESA and other controllers of your data, how and why they process your data, the legal bases for this processing, and your rights under data protection legislation. This notice is regularly reviewed and sometimes updated, for example when organisations change their name, or to clarify how your information is used. Updates may be made at any time and you will always find the most up to date version with the [HESA website](#).

Submission of your information to HESA

Data about you will be supplied to HESA for the purposes set out below. This data does not include your name (except in the limited case of purpose 6, see below) and is not intended to be used to make decisions about you. All information is used in compliance with data protection legislation.

Every year your provider will send some of the information it holds about you to HESA ("your HESA information"). HESA is the official source of data about UK universities, higher education colleges, alternative HE providers, and recognised higher education courses taught at further education institutions in Wales. HESA is a registered charity and operates on a not-for-profit basis.

Your HESA information does not contain your name or contact details, but may contain your [Open Researcher and Contributor ID \(ORCID\)](#) number if you have one

Your HESA information is used for a variety of purposes by HESA and by third parties as described below. HESA may charge other organisations to whom it provides services and data. Uses of your HESA information may include linking parts of it to other information, as described below. Some information provided to HESA is retained indefinitely for statistical research purposes. Your HESA information will not be used to make automated decisions about you. The extent to which your information will be used for purposes 3-4 will vary.

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All uses of HESA information must comply with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018.

Categories of information submitted to HESA, including special categories of data

HESA collects data about the personal characteristics of staff and governors at higher education providers and information about their jobs and contracts. This might include sensitive details about staff members' and governors' personal lives used for equality and diversity monitoring.

Data submitted to HESA by your provider includes details about your employment contract, the work that you do and your salary. It also includes personal details about you such as your date of birth and your nationality.

Information about your health, ethnicity, sexual orientation, gender reassignment or religion is classed as 'Special categories of data' under the UK GDPR. If your Provider discloses this information to HESA it will be included in your HESA information. This information is necessary for monitoring equality of opportunity and eliminating unlawful discrimination in accordance with the Equality Act 2010 and Section 75 of the Northern Ireland Act 1998. This information will also be processed for statistics and statistical research where this is necessary and in the public interest.

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A full list of data items that may be included in your HESA information for the 2018/19 academic year will be available from October 2019 on the [HESA website](#). Please note that not all data items are collected for all staff – the exact set of variables relating to you will depend on your role and contract.

Purpose 1 – Individual level data used for public functions by the HE funding and regulatory bodies

Your HESA information is used by HE funding and regulatory bodies (who request HESA to collect it) for their statutory and/or public functions including funding, regulation and policy-making purposes. Your information will not be used to make decisions about you.

HESA shares your HESA information with the HE funding and regulatory body(s) who require it to carry out their statutory and/or public functions. This data sharing is carried out in the public interest or in the exercise of official authority vested in HESA and the public authorities. The HE funding and regulatory bodies are:

- England - Office for Students (who take into account what would be helpful to collect for sharing with UK Research and Innovation and the Secretary of State)
- Wales - Higher Education Funding Council for Wales
- Scotland - Scottish Further and Higher Education Funding Council
- Northern Ireland - Department for the Economy

Your HESA information will be shared with these organisations as part of a large dataset which contains similar information about other people who work at higher education providers in the UK. These organisations are also Controllers of your HESA information. This means that they make their own decisions about how to use it, and this may include publishing statistics and sharing the information with third parties, such as other government or public bodies or other organisations of the type listed elsewhere in this collection notice. However, all uses that they make of your HESA information will be within the purposes set out in this collection notice and covered by data sharing agreements with HESA.

These organisations will not use the data for the purposes of identifying you as an individual or to make decisions about you. These organisations may retain HESA information indefinitely for statistical and research purposes.

Non-academic staff at English Registered Providers

If you are a non-academic staff member at an English Registered Provider regulated by the Office for Students then the submission of your HESA information by your provider to HESA is not required by the Office for Students and will be submitted by your provider on a voluntary basis in order to assist your provider in meeting its statutory reporting obligations (e.g. equality and diversity reporting, responding to FOIs) and for other legitimate interests such as benchmarking or internal reporting. If it is submitted on a voluntary basis then it may also be used for purposes 2 to 4.

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Legal basis for processing your information for Purpose 1

Legal basis for processing your information for Purpose 1 – these cover use of personal data by both HESA and the HE funding and regulatory bodies data controllers:

Processing of your HESA information for Purpose 1 is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (see GDPR Article 6(1)(e)) and for statistical and research purposes (see GDPR Article 89).

Processing may also be necessary for compliance with a legal obligation to which the controller may be subject (see GDPR Article 6(1)(c)).

Processing may also be necessary for the purposes of the legitimate interests of HESA in disseminating higher education information, or the legitimate interests of third parties in undertaking research in the field of higher education (See GDPR Article 6(1)(f)).

Processing of Special Categories of data is necessary for statistical and research purposes in accordance with GDPR Article 89(1) in accordance with the duties in the Equality Act 2010, Section 75 of the Northern Ireland Act 1998, the Digital Economy Act 2017 or equivalent subsequent legislation, or for other research purposes falling within GDPR Article 9(2)(j).

Processing of Special Categories of data may also be necessary for reasons of substantial public interest in accordance with the Equality Act 2010 or equivalent subsequent legislation (see GDPR Article 9(2)(g)).

Purpose 2 – Individual level data used for public functions by public authorities

HESA acts as an information hub to provide data and statistics on higher education. While the bodies described in Purpose 1 (above) have legal or regulatory power to require information from certain HE providers, other public authorities also use your HESA information for their statutory and/or public functions including funding, regulation and policy-making purposes

Education statistics and data

HESA also acts as an information hub to provide information on higher education. In England this is undertaken outside of HESA's Designated Data Body activities. HESA shares your HESA information with public authorities who require it to carry out their statutory and/or public functions. This data sharing is carried out in the public interest or in the exercise of official authority vested in HESA and the public authorities. Your HESA information will be shared with these organisations as part of a large dataset which contains similar information about other people who work at higher education providers in the UK.

These organisations are also controllers of your HESA information. This means that they make their own decisions about how to use it, and this may include publishing statistics and sharing the information with third parties, such as other government or public bodies or other organisations of the type listed elsewhere in this collection notice.

However, all uses that they make of your HESA information will be within the purposes set out in this collection notice and covered by data sharing agreements with HESA. These organisations will not use the data for the purposes of identifying you as an individual or to take decisions about you. These organisations may retain HESA information indefinitely for statistical and research purposes, or for fixed terms depending on the terms of their data sharing agreements with HESA.

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The HE funding and regulatory bodies (in respect of information not collected under their relevant power – for example the Office for Students have power to collect information from English providers, but also need information from providers in other parts of the UK) are:

- [Office for Students](#)
- [Higher Education Funding Council for Wales](#)
- [Scottish Further and Higher Education Funding Council](#)
- [Department for the Economy](#)

Education departments in England and the devolved administrations:

- [Department for Education](#)
- [Welsh Government](#)
- [Scottish Government](#)

Other bodies with public functions connected to education:

- [Department for Business, Energy and Industrial Strategy](#)
- [UK Research and Innovation \(UKRI\)](#)
- [National Health Service bodies and organisations working with them e.g. Health Education England](#)
- [Medical Schools Council](#)
- [Quality Assurance Agency for Higher Education](#)

and any successor bodies. Further controllers may be added to the list from time to time – please see the online version of this notice at the [HESA website](#).

Your HESA information may also be used by other controllers who carry out statistical and research tasks in the public interest or in the exercise of official authority that are not connected with education such as monitoring of public expenditure by the National Audit Office.

UKRI will link information about academic staff to [Research Excellence Framework](#) submissions in order to monitor equal opportunities in relation to that exercise.

Other uses of data

Your HESA information may also be used by some organisations who are also controllers who carry out statistical and research tasks in the public interest or in the exercise of official authority that are not connected with education. Such uses may include the following:

- Production of statistics in relation to the population of the UK and for statistical research, undertaken by the Office for National Statistics. Further information can be found on the [ONS website](#).
- Production of statistics and statistical research undertaken by [National Records of Scotland](#) and the [Northern Ireland Statistics and Research Agency](#).
- Monitoring of public expenditure by the [National Audit Office](#)

The above list of organisations who may receive your HESA information will be subject to change over time. For example, HESA is seeking to reduce the burden on higher education providers by encouraging other organisations who currently collect information directly from higher education providers to collect and receive information through HESA. The above list will be updated on the [HESA website](#) from time to time, and you will need to monitor this link yourself if you wish to be aware of changes.

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Legal basis for processing your information for Purpose 2

Processing of your HESA information for Purpose 2 is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (See GDPR Article 6(1)(e)) and for statistical and research purposes (See GDPR Article 89).

Processing of Special Categories of data is necessary for statistical and research purposes in accordance with GDPR Article 89(1) in accordance with the duties in the Equality Act 2010, Section 75 of the Northern Ireland Act 1998, the Digital Economy Act 2017 or equivalent subsequent legislation, or for other research purposes falling within GDPR Article 9(2)(j).

Processing of Special Categories of data may also be necessary for reasons of substantial public interest in accordance with the Equality Act 2010 or equivalent subsequent legislation (see GDPR Article 9(2)(g)).

Purpose 3 - HESA publications

HESA publishes statistics about staff in higher education.

Part of HESA's role is to produce and publish information about higher education in the public interest. This includes some [National Statistics publications](#) and online business intelligence and research services.

When producing this material for publication, HESA applies its disclosure control, the [HESA Standard Rounding Methodology](#), to ensure that no Personal Data is included and that individuals cannot be identified from published material.

Processing within this Purpose 3 may also be carried out by HESA Services Limited, HESA's wholly owned subsidiary company.

Legal basis for processing your information for Purpose 3

Processing of your HESA information for Purpose 3 is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (See GDPR Article 6(1)(e)) and for statistical and research purposes (See GDPR Article 89).

Processing of Special Categories of personal data is necessary for statistical and research purposes in accordance with Article 89(1) based on the Equality Act 2010 (See GDPR Article 9(2)(i))

Purpose 4 - Equal opportunity, research, journalism and other processing for statistical and research purposes

HESA information is used for research into higher education and the staff population. This research can be academic, commercial, journalistic or for personal reasons. HESA prohibits the identification of individual staff members by those carrying out this research.

HESA and the other controllers (see Purposes 1 & 2) may also supply information to third parties where there is a legitimate interest in doing so for statistical and research purposes. Examples of use for this purpose include:

- Provision of information to students and prospective students

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- Equal opportunities monitoring
- Research - This may be academic research, commercial research or other statistical research where this is in the public interest
- Journalism - Where the relevant publication would be in the public interest

Users to whom information may be supplied for Purpose 4 include:

- Higher education sector bodies
- Higher education providers
- Academic researchers and students
- Commercial organisations
- Unions
- Non-governmental organisations and charities
- Local, regional and national government bodies
- Journalists

Information supplied by HESA to third parties within Purpose 4 is supplied under contracts which require that individuals shall not be identified from the supplied information and this means that they also cannot use it to take decisions about you. A copy of [HESA's current agreement for the supply of information](#) is available via the HESA website. Each agreement specifies the duration for which data may be processed. This is usually one year but may be longer if necessary, for the specific research purpose. Each request for HESA information under Purpose 4 is assessed for its compliance with data protection legislation and its compatibility with this Collection Notice. HESA ensures that only the minimum amount of HESA information necessary for the specified research purpose is supplied to users. If the supplied information is to be published [HESA's Rounding Methodology](#) or an equivalent disclosure control must be applied to ensure that individuals cannot be identified from the published material and it does not constitute Personal Data.

Other controllers (listed under Purposes 1 & 2 above) may also process data for this purpose where this is necessary to fulfil their public functions.

Legal basis for processing your information for Purpose 4

Processing of your HESA information for Purpose 4 is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (See GDPR Article 6(1)(e)).

Processing may also be necessary for the purposes of the legitimate interests of HESA in disseminating higher education information, or the legitimate interests of third parties in undertaking research in the field of higher education (See GDPR Article 6(1)(f)).

In either case processing of your HESA information is necessary for statistical and research purposes in accordance with GDPR Article 89(1).

Processing of Special Categories of personal data is necessary for statistical and research purposes in accordance with Article 89(1) based on the duties in the Equality Act 2010 and Section 75 of the Northern Ireland Act 1998 (See GDPR Article 9(2)(j))

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Purpose 5 - Clinical academic staff and health professionals only

If you work in a clinical or health-related role or department the Medical Schools Council may use your HESA information for additional purposes.

The Medical Schools Council (MSC) and Universities UK through the activities of its Dental Schools Council (DSC) use HESA staff data for the purposes of:

- Monitoring trends in clinical academic staffing as a basis for partnership between the NHS and universities.
- Promoting, maintaining and improving high quality education, research and clinical practice in the UK.
- Publishing results of research into clinical academic staffing at a detailed statistical level from which there may be a risk of identification of individuals through combinations of characteristics.

The MSC and DSC retain each year's detailed data for one year from receipt of data from HESA. Research results are held indefinitely for statistical and research purposes.

Legal basis for processing your information for Purpose 5

Processing of your HESA information for Purpose 5 is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (See GDPR Article 6(1)(e)) and for statistical and research purposes (See GDPR Article 89).

Processing of Special Categories of data is necessary for statistical and research purposes in accordance with Article 89(1) based on the duties in the Equality Act 2010 and Section 75 of the Northern Ireland Act 1998 (See GDPR Article 9(2)(j))

Purpose 6 - Senior staff pay and compensation for loss of office

If your salary exceeds £100,000 pa, or if you receive compensation for loss of office, information about your salary or compensation payments may be published by HESA and the funding and regulatory bodies listed in Purpose 1.

Accounts directions from the Office for Students, the Higher Education Funding Council for Wales, the Scottish Funding Council and the Department for the Economy (NI) require HE providers to publish the following details as part of their annual statements:

- Head of Provider name, salary and benefits,
- Numbers of staff paid over £100,000 per annum,
- The number of staff paid compensation for loss of office ('severance pay').

This information is also collected by HESA in the HESA Finance record for HE providers in Wales, Scotland and Northern Ireland. For HE providers in England this information is collected by the Office for Students and shared with HESA who may use this information for all the purposes described in this notice.

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HESA publishes this information alongside other financial information about HE providers as open data. The published data includes counts of staff which are not rounded or suppressed.

Data about heads of providers is personal data, and where other numbers are small for a provider these may also reveal information about individuals.

Legal basis for processing financial information about staff pay, compensation and benefits for purpose 6.

Processing of your HESA information for Purpose 6 is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Controller (See GDPR Article 6(1)(e)) and for statistical and research purposes (See GDPR Article 89).

Further information about recipients of your HESA information

HESA is in the process of constructing a publishable register containing information relating to the recipients to whom we disclose data. Once live, the link to the register will be found in this section of the Collection Notice.

Your rights

Data protection legislation gives you rights over your personal data. These include rights to know what information is processed about you and how it is processed. These rights have to be met by HESA and any other organisation which takes decisions about how or why your information is processed.

You have the right to be informed about how your personal data is used. This HESA Staff Collection Notice is regularly reviewed to ensure that it accurately describes how your HESA information is used. This notice may be updated from time to time, for example when new legislation is enacted, or when new policies are implemented by the public authorities listed under Purposes 1 & 2. The most up to date version can always be found via the [HESA website](#).

For further information about data protection, including contact details for HESA and HESA Services' Data Protection Officer please see the [HESA Data Protection section of their website](#). If you have questions about how your HESA information is used, please contact data.protection@hesa.ac.uk.

Under the GDPR you have the right of access to your personal information and rights to rectify inaccurate information; restrict processing; and object to processing. These rights are limited in certain circumstances by the GDPR and the Data Protection Act 2018 where data is only processed for research or statistical purposes. If you think there is a problem with the way HESA is handling your data, you have the right to complain to the [Information Commissioner's Office](#).

Data transfers to other countries

Your HESA information may be transferred to countries outside the European Union for the purposes described above.

Your HESA information will only be transferred to countries whose data protection laws have been assessed as adequate by the European Commission, or where adequate safeguards, such as the EU-US Privacy Shield, are in place to protect your HESA information. European Commission decisions on the adequacy of the protection of personal data in third countries are published on the [European Commission website here](#).

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[websites correct as at 27 July 2021]

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Note:

- Personal data can be transferred from UK to EEA
- Personal data can be transferred from EEA to UK until 40 April 2021 – US is awaiting confirmation from EC regarding adequacy decision

Source: Shoosmiths (2021) 'DSARs and other practical data protection issues for employers', © Shoosmiths LLP 2021

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ESFA Privacy Notice

Education and Skills Funding Agency (ESFA) privacy notice

Updated: 19 January 2021

Contents

- [The kinds of personal data we process about you](#)
- [How information is collected and why we have it](#)
- [How long we will keep your personal data](#)
- [Storing personal data outside the UK](#)
- [How we share your personal data](#)
- [Your data protection rights](#)
- [How to complain](#)
- [Changes to this privacy notice](#)

This publication is available at <https://www.gov.uk/government/publications/esfa-privacy-notice/esfa-privacy-notice>.

The Education and Skills Funding Agency (ESFA) is an executive agency of the Department for Education (DfE). This privacy notice explains how we use your personal information. For the purposes of relevant data protection legislation, the DfE is the data controller for personal information processed.

How we use your personal information

The ESFA is responsible for funding education and skills in England for children, young people and adults. It is also responsible for delivery of key services in the education and skills sector in England including the apprenticeship service, the provision of information, advice and guidance through the National Careers Service, and the Learning Records Service. We may use your personal information in our delivery of this work.

How we collect your personal information

We collect your personal information where the law allows it, or we have a legal obligation to do so. Your personal information is collected to enable us to carry out the functions of the DfE.

The lawful basis for collecting and using your personal information will depend on the service and will normally be:

- where we need to for the purposes of Department for Education functions
- where we have your consent to do so
- where we have a legal obligation

If we are processing your personal information using your consent, you can withdraw your consent at any time.

Personal information is provided directly by you:

- face to face
- over the telephone
- via websites or subscribe to our mailings
- in emails

We may collect personal information about you from other systems or organisations funded by ESFA and from organisations that introduce you to us; so that we can make contact with you.

How we share your personal information

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We may share your personal information with other services run by the ESFA, other parts of the DfE, and partner organisations, where the law allows it, or we have a legal obligation to do so:

- with a third party who is working for ESFA under contract
- with organisations for the purposes of:
 - administration
 - provision of career and other guidance
 - statistical and research purposes, relating to education, training, employment and well-being prevention or detection of crime

Other organisations include:

- Department for Work and Pensions
- Local and Combined Authorities in England
- Greater London Authority
- Higher Education Statistics Agency
- Office for Standards in Education
- Institute for Apprenticeships
- educational institutions and organisations performing research and statistical work on behalf of the Department for Education, or partners of those organisations

How long we will keep your personal information

We will only keep your personal information for as long as we need it after which it will be securely destroyed.

We may need to keep your personal information indefinitely for research and statistical purposes. We will put in place necessary measures to safeguard this information.

Your data protection rights

You have the right:

- to ask us for access to information about you that we hold
- to have your personal data rectified, if it is inaccurate or incomplete
- to request the deletion or removal of personal data where there is no compelling reason for its continued processing
- to restrict our processing of your personal data (i.e. permitting its storage but no further processing)
- to object to direct marketing (including profiling) and processing for the purposes of scientific/historical research and statistics
- not to be subject to decisions based purely on automated processing where it produces a legal or similarly significant effect on you
- If we are processing your personal information using your consent, you can withdraw your consent at any time.

If you need to contact us regarding any of the above, please do so via Department for

Education (DfE) at: ([https://form.education.gov.uk/submitform.php?](https://form.education.gov.uk/submitform.php?self=1&form_id=cCCNJ1xSfBE&type=form&ShowMsg=1&form_name=Contact+the+Department+for+Education&noRegister=false&ret=%2Fmodule%2Fservices&noLoginPrompt=1)

[self=1&form_id=cCCNJ1xSfBE&type=form&ShowMsg=1&form_name=Contact+the+Department+for+Education&noRegister=false&ret=%2Fmodule%2Fservices&noLoginPrompt=1](https://form.education.gov.uk/submitform.php?self=1&form_id=cCCNJ1xSfBE&type=form&ShowMsg=1&form_name=Contact+the+Department+for+Education&noRegister=false&ret=%2Fmodule%2Fservices&noLoginPrompt=1)).

Contacting us about your information

If you would like:

- more information about how we process your personal information, or your data protection rights
- to make a request about your information – for example to request a copy of your information or to ask for your
- information to be changed
- to contact our Data Protection Officer

You can contact us using our secure online contact form

([https://form.education.gov.uk/submitform.php?](https://form.education.gov.uk/submitform.php?self=1&form_id=cCCNJ1xSfBE&type=form&ShowMsg=1&form_name=Contact+the+Department+for+Education&noRegister=false&ret=%2Fmodule%2Fservices&noLoginPrompt=1)

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self=1&form_id=cCCNJ1xSfBE&type=form&ShowMsg=1&form_name=Contact+the+Department+for+Education&noRegister=false&ret=%2Fmodule%2Fservices&noLoginPrompt=1) or by writing to:

Ministerial and Public Communications Division
Department for Education
Piccadilly Gate, Store Street
Manchester, M1 2WD.

You also have the right to complain to the [Information Commissioner's Office](#) [online]. Further information is available on their website on how to report a concern at: <https://ico.org.uk/concerns/> [accessed 12 February 2021].

Further information on processing your information

Learner information

Personal information is collected by the ESFA in accordance with the terms and conditions of funding imposed on providers of learning, for example, further education colleges and private training organisations. Your personal information is processed by the DfE, and by those third-party organisations when they process your information on behalf of the DfE, to enable the DfE to carry out its functions.

Learner information collected by the ESFA is known as the [Individualised Learner Record](#) (ILR). The specification and standards for the ILR are published for each academic year (1 August to 31 July) by the ESFA (www.gov.uk/government/collections/individualised-learner-record-ilr). This specification provides more information about the use of your information.

Some learning is funded by other public authorities where it is necessary to share learner information with those organisations in order that they can carry out their functions, as follows:

- Department for Work and Pensions, for European Social Fund funding
- Mayoral Combined Authorities and the Greater London Authority, for devolved adult education budget funding

Learner contact information collected by the ESFA may be used for the purposes of research and surveys to enable the DfE to carry out its functions or, where learning is funded by the European Social Fund (ESF), for the Department for Work and Pensions to carry out its functions. This contact information will only be used for the purposes of other research and surveys with the consent of the learner.

Learner information is also collected and supplied to the Learning Records Service, a part of the ESFA. Your information is used by the ESFA to issue learners with a Unique Learner Number, and to create and maintain your Personal Learning Record. More information about this use of learner information is published by the Learning Record Service

Source: www.gov.uk/guidance/how-to-access-your-personal-learning-record.

Apprenticeships

As part of this service, individuals can apply for and be kept informed of apprenticeship opportunities. Your personal information is processed to match registered candidate requirements to vacancies for apprenticeships, including for those employers or providers offering a guaranteed interview scheme. Learning providers may act on behalf of employers to sift and shortlist candidates for interview that meet the criteria set by the employer. This service also enables the ESFA and organisations funded to deliver the National Careers Service, and the Department for Works and Pensions (including Jobcentre Plus), and their employees or agents to search for apprenticeship vacancies and pass details to citizens and clients for the purpose of providing careers advice and guidance.

If you start an apprenticeship, your information is supplied to us by your employer to enable the DfE to carry out its functions.

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When you complete your apprenticeship, your information will also be shared with:

- an organisation appointed by your employer to assess the training that you receive
- an organisation under contract to the DfE to issue you with an apprenticeship certificate

This sharing is undertaken to enable the DfE and the Institute for Apprenticeships to carry out their functions.

National Careers Service

The ESFA encourages participation within further education and learning through the provision of career information and advice services. Data is collected to enable delivery of the services requested. Some optional demographic information (for example, ethnicity, declared disability) is requested to enable the ESFA to monitor the performance of the service against equality and diversity objectives, and to ensure that the ESFA is targeting the service to meet priority audience groups.

Further details about the service are provided on the [National Careers Service website](https://nationalcareersservice.direct.gov.uk/home) [online]. Available at: <https://nationalcareersservice.direct.gov.uk/home> [accessed 12 February 2021].

Bursary for Vulnerable Group Scheme

The Bursary for Vulnerable Group Scheme uses the information you give to decide if you are eligible for a bursary under the scheme eligibility criteria. The information collected by your educational institution will include your name and contact details and whether you are:

- a care leaver
- getting Income Support, or Universal Credit because you're financially supporting yourself or are financially supporting yourself and someone who is dependent on you and living with you, for example, your child or your partner
- getting Disability Living Allowance or Personal Independence Payments and Employment and Support Allowance or Universal Credit

To enable the delivery of this scheme your personal information may be shared with ESFA and the provider administering the scheme for the purposes of administration, as the law allows in order for the Department for Education to perform its function.

Sharing data

In order for the DfE to carry out its functions:

- the ESFA and training providers share data to ensure accuracy of information held in relation to the funding of learning -

a training provider may need to share your information with another training provider in order to verify accuracy of

information in relation to a claim for funding from the ESFA

- your personal information may be shared with another training provider for the purposes of your continued learning

In the event that a further education college or other training provider is unable to continue the delivery of training funded by the ESFA (for example, where a training provider is a limited company that is dissolved) the ESFA will endeavour to make arrangements for the secure transfer of information, including your personal data, from the former training provider to another training provider to support your continued learning. It may also request information from Awarding Organisations to establish at what stage your learning has reached according to their records.

Sources of further information:

ESFA (2021) '[Guidance: Education and Skills Funding Agency privacy notice](https://www.gov.uk/government/publications/esfa-privacy-notice/esfa-privacy-notice)', GOV.UK [online]. Available at: <https://www.gov.uk/government/publications/esfa-privacy-notice/esfa-privacy-notice> [accessed 12 February 2021].

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ESFA (2021) 'Guidance: Record keeping and retention guidance for training provers', GOV.UK [online]. Available at: www.gov.uk/government/publications/record-keeping-and-retention-guidance-for-fe-training-providers/record-keeping-and-retention-information-for-training-providers [accessed 12 February 2021]
